

09-29-00

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PTO/SB/05 (18-00)
 for use through 10/31/2002. OMB 0651-0032
 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **JW-DG-668**
 First Inventor **ERICSON, George M.**
 Title **SWITCH-BASED ACCELERATION OF COMPUTER DATA STORAGE EMPLOYING AGGREGATIONS OF DISK ARRAYS**
 Express Mail Label No. **EK591633803 VS**

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **38**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **7**]
5. Oath or Declaration [Total Pages **3**]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other: _____

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: _____ / _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Printed Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name	Robert L. Dulaney				
Address	EMC CORPORATION				
	35 PARKWOOD DRIVE				
City	HOPKINTON	State	MA	Zip Code	01748
Country	U.S.A.	Telephone	508-435-1000	Fax	

Name (Print/Type)	JOEL WALL	Registration No. (Attorney/Agent)	25,648
Signature	Joel Wall	Date	9-28-2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

09/28/00
 1c925 U.S. PTO

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application of George M. Ericson et al)
)
For: Switch-Based Acceleration of Computer)
Data Storage Employing Aggregations of)
Disk Arrays)
)
Docket Number: JW-DG-668)
)

September 28, 2000

BOX PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231
Attention: NEW APPLICATIONS

Sir:

Enclosed herewith for filing is the above-captioned patent application. The following items are enclosed herewith:

1. Utility Patent Application Transmittal Form PTO/SB/05
2. Fee Transmittal for FY 2000 Form PTO/SB/17 (in duplicate)
3. Executed Assignment of Patent Application (three pages) with Recordation Form Cover Sheet Form PTO-1619A
4. Patent Application – 38 pages total including claims and abstract
5. Executed Declaration (three pages) stapled to back of Patent Application
6. Drawings – seven sheets with identification information on reverse sides
7. Return prepaid postcard

Respectfully submitted,


JOEL WALL – REG # 25,648

CERTIFICATION UNDER 37 C.F.R. SECTION 1.16

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on September 28, 2000 in an envelope as “Express Mail Post Office to Addressee”, mailing Label Number EK591633803US, addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

JOEL WALL



003260-2202960

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FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 1378-

Complete if Known

Application Number

Filing Date

First Named Inventor

Examiner Name

Group Art Unit

Attorney Docket No.

9-28-2000

ERICSON, GEORGE M.

JW-DG-668

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

05-0889

Deposit
Account
Name

EMAC CORPORATION

- ☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☐ Payment Enclosed:

- ☐ Check ☐ Credit card ☐ Money
Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Fee Fee Fee Fee Description
Code (\$) Code (\$) Code (\$)

101 690 201 345 Utility filing fee
106 310 206 155 Design filing fee
107 480 207 240 Plant filing fee
108 690 208 345 Reissue filing fee
114 150 214 75 Provisional filing fee

Fee Paid

SUBTOTAL (1) (\$) 690

2. EXTRA CLAIM FEES

Total Claims 30 -20** = 10 X Fee from below 18 = 180
Independent Claims 9 -3** = 6 X Fee Paid 78 = 468
Multiple Dependent =

**or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

Fee Fee Fee Fee Fee Description
Code (\$) Code (\$) Code (\$)

103 18 203 9 Claims in excess of 20
102 78 202 39 Independent claims in excess of 3
104 260 204 130 Multiple dependent claim, if not paid
109 78 209 39 ** Reissue independent claims
over original patent
110 18 210 9 ** Reissue claims in excess of 20
and over original patent

SUBTOTAL (2) (\$) 648

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity
Fee Fee Fee Fee
Code (\$) Code (\$)

Fee Description

Fee Paid

105 130 205 65 Surcharge - late filing fee or oath
127 50 227 25 Surcharge - late provisional filing fee or
cover sheet
139 130 139 130 Non-English specification
147 2,520 147 2,520 For filing a request for *ex parte* reexamination
112 920* 112 920* Requesting publication of SIR prior to
Examiner action
113 1,840* 113 1,840* Requesting publication of SIR after
Examiner action
115 110 215 55 Extension for reply within first month
116 380 216 190 Extension for reply within second month
117 870 217 435 Extension for reply within third month
118 1,360 218 680 Extension for reply within fourth month
128 1,850 228 925 Extension for reply within fifth month
119 300 219 150 Notice of Appeal
120 300 220 150 Filing a brief in support of an appeal
121 260 221 130 Request for oral hearing
138 1,510 138 1,510 Petition to institute a public use proceeding
140 110 240 55 Petition to revive - unavoidable
141 1,210 241 605 Petition to revive - unintentional
142 1,210 242 605 Utility issue fee (or reissue)
143 430 243 215 Design issue fee
144 580 244 290 Plant issue fee
122 130 122 130 Petitions to the Commissioner
123 50 123 50 Petitions related to provisional applications
126 240 126 240 Submission of Information Disclosure Stmt
581 40 581 40 Recording each patent assignment per
property (times number of properties)
146 690 246 345 Filing a submission after final rejection
(37 CFR § 1.129(a))
149 690 249 345 For each additional invention to be
examined (37 CFR § 1.129(b))
179 690 279 345 Request for Continued Examination (RCE)
169 900 169 900 Request for expedited examination
of a design application

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40

SUBMITTED BY

Name (Print/Type)

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25,648

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508-435-4432

Signature

Joel Wall

Date

9-28-2000

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be included on this form. Provide credit card information and authorization on PTO-2038.